

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Masahito WATANABE, Kunihiro MURATA and Takao IKARIYA

FILED: Herewith

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CERTIFICATE OF EXPRESS MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage as Express Mail No. EV317952525 US in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on December 31, 2003.

By: *Regina M. Edwards*
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Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, Applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION

The patents, publications or other information submitted for consideration by the Office are listed on PTO-1449, attached hereto.

II. COPIES

- a. X Submitted herewith is a legible copy of (i) each U.S and foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.
- b. Each of the patents, publications or other information listed on the attached PTO-1449 was previously cited by or submitted to the USPTO in connection with U.S.S.N.: 08/000,000, to which the subject application claims the benefit of the earlier filing date. As such, a copy of each is not included herewith pursuant to 37 C.F.R. § 1.97(d).

III. CONCISE EXPLANATION OF THE RELEVANCE
(check at least one box)

- a. X Except as may be indicated below in (b), all of the patents, publications or other information are in the English language or were cited in an English language Search Report, a copy of which is attached hereto (concise explanation not required).
- b. A concise explanation of the relevance of all patents, publications or other information listed that is not in the English language is as follows:
- English translation for reference(s) .
 - English abstract for reference(s): .
 - English translation of search report/ official communication.
 - Copy of PCT/EPO Search Report.
 - X Partial English translation for reference(s): **BA-BH**
- c. The following additional information is provided for the Examiner's consideration:
- A copy of EPO Search Report.
 - A copy of PCT Search Report.
 - A copy of Official Communication from the Patent Office.
 - English translation of search report/ official communication.

FEES

IV. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(b)
(check one box)

- a. X within three months of the filing date of a national application (37 C.F.R. § 1.97(b) (1)). No fee or certification is required.
- b. within three months of the date of entry of the national stage as set forth in §1.491 in an international application (37 C.F.R. § 1.97(b) (2)). No fee or certification is required.
- c. before the mailing date of a first Action on the merits (37 C.F.R. § 1.97(b) (3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e) below, or, if no certification has been made, charge our deposit account a fee in the amount of \$180.00 as required by 37 C.F.R. § 1.17(p).

V. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(c):
(check one box)

before the mailing date of a Final Office Action under 37 C.F.R. § 1.113 (See 37 C.F.R. § 1.97(c) (1)) or before the mailing date of a Notice of Allowance under 37 C.F.R. § 1.311 (See 37 C.F.R. § 1.97(c) (2)).

- a. _____ No certification; therefore, a fee in the amount of \$180.00 is required by 37 C.F.R. § 1.17(p).
or
b. _____ See the certification below. No fee is required.

VI. CERTIFICATION UNDER 37 C.F.R. § 1.97(e) (check only one box)

The undersigned hereby certifies that

- a. _____ each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or
b. _____ no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.
c. _____ Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned certifies that each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

VII. FEE PAYMENT (check one)

- _____ Enclosed please find a check in the amount of \$180.00 for the above-indicated fee.

_____ Please charge Deposit Account No. 04-1105 in the amount of \$180.00
for the above-indicated fee.

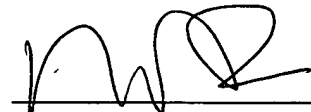
X No fee is required.

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule, with a petition if necessary, and charge the appropriate fee to Deposit Account No. 04-1105.

Respectfully submitted,

Date: December 31, 2003

By:


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Information Disclosure Statement PTO - 1449		Atty. Docket No: 60542 (49811)		Serial No.		
		Applicant(s): Masahito WATANABE, Kunihiro MURATA and Takao IKARIYA				
		Filing Date Herewith		Art Unit Not Yet Known		
UNITED STATES PATENT DOCUMENTS						
Exam. Initials	Ref. No.	Document Number	Date	Inventor(s)	Class	Filing Date
	AA					
FOREIGN PATENT DOCUMENTS						
Exam. Initials	Ref. No.	Document Number	Date	Country or Office	Class	Translation
	BA	JP 07-265709	October 17, 1995	Japan	B01J	Abstract
	BB	JP 8291178	May 11, 1996	Japan	C07F	Abstract
	BC	JP 11-240865	Sept 7, 1999	Japan	C07C	Abstract
	BD	JP 2001-031682	February 6, 2001	Japan	C07F	Abstract
	BE	JP 2002-069076	March 8, 2002	Japan	C07F	Abstract
	BF	JP 08-319258	December 3, 1996	Japan	C07C	Abstract
	BG	JP 10-130286	May 19, 1998	Japan	C07F	Abstract
	BH	JP 2001-252567	Sept 18, 2001	Japan	B01J	Abstract
OTHER DOCUMENTS (INCL. TITLE, AUTHOR, DATE, PAGES, ETC)						
Exam. Initials	Ref. No.					
	CA	Karl-Josef Haack, Shohei Hashiguchi, Akio Fujii, Takao Ikariya, Ryoji Noyori. The Catalyst Precursor, Catalyst, and Intermediate in the Ru ^{II} -Promoted Asymmetric Hydrogen Transfer between Alcohols and Ketones. Angew. Chem. Int. Ed. Engl. 1997, 36, No. 3. pp 285-288.				
	CB	Kunihiro Murata, Takao Ikariya, and Ryoji Noyori. New Chiral Phodium and Iridium Complexes with Chiral Diamine Ligands for Asymmetric Transfer Hydrogenation of Aromatic Ketones. J. Org. Chem. 1999, 64, 2186-2187.				
Examiner:				Date:		